

Commissioner for Patents  
P. O. Box 1450  
Alexandria, VA 22313-1450

ATTN: BOX PATENT APPLICATION

Sheet 1 of 2

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

Docket No.: 02-560

Date: October 20, 2003

U.S. Express Mail Label No.:

EV323569249US

22582 U.S. PTO  
10/689371



Inventor Name(s):

PENGFEI MA AND ANIL KUMAR R. SHENOY

Title:

A FLOW-CONTROL APPARATUS FOR CONTROLLING THE SWING SPEED OF A BOOM  
ASSEMBLY

☒ Fee Transmittal Form Attached in Duplicate

☒ Specification and Claim(s) [Total Pages  ]

☒ Drawing(s) [Total Sheets  ]

Declaration [Total Pages  ]

☒ Newly Executed (Original or Copy)

☐ Copy From Prior Application (37 CFR § 1.63(d))

☐ Deletion of Inventor(s) (37 CFR § 1.63(d)(2))  
(Signed Statement Attached)

☒ Assignment Papers (Cover Sheet and Document(s))

☐ 37 CFR § 3.73(b) Statement (if applicable) ☐ Power of Attorney

☐ English Translation Document (if applicable)

☒ Information Disclosure Statement (IDS)/PTO-1449

☒ Copies of IDS Citations

☐ Preliminary Amendment

☒ Return Receipt Postcard (Specifically Itemized)

☐ Certified Copy of Priority Document(s)

☐ Other

Sheet 2 of 2

If a Continuing Application

☐ Continuation      ☐ Divisional      ☐ Continuation-In-Part (CIP)

of prior Application No.: \_\_\_\_\_ ;

Examiner: \_\_\_\_\_ ; and

Group/Art Unit:

☐ Cancel Claims:

For Continuations or Divisional Applications only: The entire disclosure of the prior application, from which an oath or declaration is supplied, as set forth above, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference.

Correspondence Address:

☒ Customer Number or Bar Code Label:

719

or

☐ Correspondence address below:

Name:

Address:

City:

State:

Zip Code:

Country:

\*\*\*\*\*

Attorney/Agent: James R. Smith

Registration No.: 41,318

Signature:

James R. Smith  
Caterpillar Inc.

Date: 10/20/03

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL

## for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 770

## Complete if Known

Application Number (Unassigned)  
 Filing Date (Herewith)  
 First Named Inventor Pengfei Ma ET AL.  
 Examiner Name (Unassigned)  
 Art Unit (Unassigned)  
 Attorney Docket No. 02-560

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account

Deposit

Account Number 03-1129

Deposit

Account

Name

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments☐ Charge any additional fee(s) during the pendency of this application☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
1001	2001	750	375	Utility filing fee	770
1002	2002	330	165	Design filing fee	
1003	2003	520	260	Plant filing fee	
1004	2004	750	375	Reissue filing fee	
1005	2005	160	80	Provisional filing fee	

SUBTOTAL (1) (\$) 770

## 2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
15	-20** = 0	18	0
Independent Claims	2	-3** = 0	86
Multiple Dependent			

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description
1202	2002	18	9	Claims in excess of 20
1201	2001	84	42	Independent claims in excess of 3
1203	2203	280	140	Multiple dependent claim, if not paid
1204	2204	84	42	**Reissue independent claims over original patent
1205	2205	18	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 0

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for ex parte reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	410	2252	205	Extension for reply within second month	
1253	930	2253	465	Extension for reply within third month	
1254	1,450	2254	725	Extension for reply within fourth month	
1255	1,970	2255	985	Extension for reply within fifth month	
1401	320	2401	160	Notice of Appeal	
1402	320	2402	160	Filing a brief in support of an appeal	
1403	280	2403	140	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,300	2453	650	Petition to revive - unintentional	
1501	1,300	2501	650	Utility issue fee (or reissue)	
1502	470	2502	235	Design issue fee	
1503	630	2503	315	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	750	2809	375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	750	2810	375	For each additional invention to be examined (37 CFR 1.129(b))	
1801	750	2801	375	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

## SUBMITTED BY

(Complete (if applicable))

Name (Print/Type) James R. Smith

Registration No. (Attorney/Agent)

41,318

Telephone

(309) 636-1569

Signature

James R. Smith

Date

10/20/2003

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 37 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.